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PATENT & TRADEMARK OFFICE

Applicant or Patentee: Duanyi Xu et al.
Serial or Patent No.: 09/810,948
Filed or Issued: March 16, 2001.
For: MULTI-WAVELENGTH OPTICAL DISC. APPARATUS AND METHOD FOR READING AND WRITING SIGNAL THEREFOR

Attorney's Docket No.: NTP-101US

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
STATUS (37 CFR 1.9(f) and 1.27(d) - NONPROFIT ORGANIZATION)**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION Tsinghua University

ADDRESS OF ORGANIZATION Tsinghua University, Haidian District, Beijing, People's Republic of China

TYPE OF ORGANIZATION Nonprofit

- ☒ University or other institution of higher education
☐ Tax exempt under Internal Revenue Service Code (26 USC 501(a) and 501(c)(3))
☐ Nonprofit scientific or educational under statute of state of the United States of America
(Name of state ____)
(Citation of statute ____)
☐ Would qualify as tax exempt under Internal Revenue Service Code (26 USC 501(a) and 501(c)(3)) if located in the United States of America
☐ Would qualify as nonprofit scientific or educational under statute of state of the United States of America if located in the United States of America
(Name of state ____)
(Citation of statute ____)

I hereby declare that the nonprofit organization identified qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled MULTI-WAVELENGTH OPTICAL DISC. APPARATUS AND METHOD FOR READING AND WRITING SIGNAL THEREFOR by inventor(s) Duanyi Xu, Xianfu Cheng, Ningfang Liao, Mali Gong, Guosheng Qu, Ping Yan, Hexiong Li and Lijun Ma described in

- ☐ the specification filed herewith.
☒ application serial no. 09/810,948, filed March 16, 2001.
☐ patent no. ____, issued ____.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME
ADDRESS

☐ INDIVIDUAL

☐ SMALL BUSINESS CONCERN

☐ NONPROFIT ORGANIZATION

NAME
ADDRESS

☐ INDIVIDUAL

☐ SMALL BUSINESS CONCERN

☐ NONPROFIT ORGANIZATION

NAME
ADDRESS

☐ INDIVIDUAL

☐ SMALL BUSINESS CONCERN

☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small business entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Ke Gong

TITLE OF PERSON OTHER THAN OWNER Deputy President

ADDRESS OF PERSON SIGNING Tsinghua University Haidian District, Beijing, 100084, People's Republic China

SIGNATURE [Signature]

DATE June 6, 2001



Declaration and Power of Attorney For Patent Application English Language Declaration

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

MULTI-WAVELENGTH OPTICAL DISC, APPARATUS AND METHOD FOR READING AND WRITING SIGNAL THEREFOR,

the specification of which is attached hereto unless the following box is checked:



was filed on March 16, 2001 as

United States Application Number or PCT International Application Number 09/810,948

and was amended on ____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR § 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. §119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)

Priority Not Claimed

<u>00103230.5</u>	<u>China</u>	<u>17/03/2000</u>	<input type="checkbox"/>
(Number)	(Country)	(Day/Month/Year Filed)	
<u>00103231.3</u>	<u>China</u>	<u>17/032000</u>	<input type="checkbox"/>
(Number)	(Country)	(Day/Month/Year Filed)	
<u>00103501.0</u>	<u>China</u>	<u>24/03/2000</u>	<input type="checkbox"/>
(Number)	(Country)	(Day/Month/Year Filed)	
<u>00109128.X</u>	<u>China</u>	<u>09/06/2000</u>	<input type="checkbox"/>

I hereby claim the benefit under 35 U.S.C. § 119(e) of any United States provisional application(s) listed below.

(Application Number)

(Filing Date)

I hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s), or 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. § 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

(Application Number)

(Filing Date)

(Status - patented, pending, abandoned)

(Application Number)

(Filing Date)

(Status - patented, pending, abandoned)

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith:

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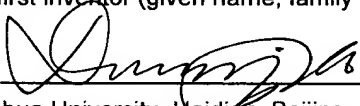
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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor (given name, family name) Duanyi Xu

Inventor's signature



Date June 5, 2001

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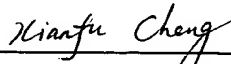
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Additional inventors are being named on separately numbered sheets attached hereto.

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Third inventor's signature Ningfang Liao Date June 5, 2001

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Fifth inventor's signature Guosheng Qi Date June 5, 2001

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Sixth inventor's signature P. Yan Date June 5, 2001

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Seventh inventor's signature Hexiong Li Date June 5, 2001

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Eighth inventor's signature Lijun Ma Date June 5, 2001

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